

Arizona State Board for Charter Schools



Five Year Interval Review Instructions

<http://online.asbcs.az.gov>

1616 W. Adams Street, Suite 170

Phoenix, AZ 85007

(602) 364-3080

Fax (602) 364-3089

<http://www.asbcs.az.gov/>

TABLE OF CONTENTS

	Page
I. Five Year Interval Review Process Overview	3
II. Instructions for Preparing Required Information for Submission	4
Academic Performance Section.....	4
Financial Performance Section.....	6
Charter Holder’s Organizational Membership Section.....	6
School Characteristics Section.....	6
III. Submitting Required Information for Review	7
IV. Terms to Know	8

I. FIVE YEAR INTERVAL REVIEW PROCESS OVERVIEW

Authorized by Arizona Revised Statute, Title 15, Chapter 1, Article 8, effective September 16, 1994, charter schools are public schools that were established to provide a learning environment that will improve pupil achievement and will provide additional academic choices for parents and pupils.

Pursuant to A.R.S. § 15-183(I)(3), a sponsor shall review a charter at five-year intervals using a performance framework adopted by the sponsor. In implementing its oversight and administrative responsibilities, the sponsor shall ground its actions in evidence of the charter holder's performance in accordance with the performance framework adopted by the sponsor (A.R.S. § 15-183(R)). The performance framework shall include:

1. The academic performance expectations of the charter school and the measurement of sufficient progress toward the academic performance expectations.
2. The operational expectations of the charter school, including adherence to all applicable laws and obligations of the charter contract.
3. Intervention and improvement policies.

At five-year intervals throughout the term of the charter, a charter holder will be notified of the scheduled review and as well as submission requirements determined based upon the charter's performance in relation to the framework adopted by the Board. Board staff will notify the charter holder via email regarding the upcoming review.

Review of a charter is based on affirmative evidence in the following areas:

- Meeting Academic Performance Expectations
 - *"Is the academic program a success?"*
- Meeting Financial Performance Expectations
 - *"Is the organization financially viable?"*
- Alignment of Charter Holder's Organizational Membership
 - *"Is the Board membership on file with ASBCS the same as reported by the Arizona Corporation Commission?"*

Evaluation of the charter holder's success in these three areas is based on a variety of information that will serve as sources of evidence during review. Sources include:

- Pupil achievement data
- Independent financial audits
- Arizona Corporation Commission
- Charter contract

Review requirements will vary based upon performance of the charter holder and the school or schools operated by the charter holder in relation to the expectations set by the Board. Charters eligible for review will receive notification of review submission requirements and, if applicable, deadlines for submission of required information. Once the required information is submitted, Board staff will evaluate the submitted materials and notify the charter representative of the results.

II. INSTRUCTIONS FOR PREPARING REQUIRED INFORMATION FOR SUBMISSION

General Information: Because charter holder performance varies, each charter holder, at the time of review, will be provided performance results based upon the Board's performance framework. Charter holders and/or schools that do not meet the Board's expectations for performance as identified in the framework will be required to submit information that addresses the area or areas where the charter holder failed to meet the Board's expectations. Certain requirements for review may be waived for charter holders who demonstrate the ability to meet or exceed performance expectations as identified in the Board's Performance Framework.

The authorized representative(s) for the charter holder will be notified by email of the charter holder's submission requirements. For this reason, it is important for authorized representatives to have current email addresses on record with the Board. The charter holder will submit the required information through ASBCS Online. If a charter holder is required to address more than one area (e.g. academic and financial), the charter holder must prepare the required information separately for each area.

II a. Academic Performance

The Board has established academic performance expectations for the charter schools it sponsors. The [Academic Performance Framework](#) communicates the Board's academic expectations and measures of academic performance. A charter holder's academic performance will be considered at the time of review in considering whether or not to require the charter holder to submit a corrective action plan in the form of a Performance Management Plan.

Established targets are used to determine whether the charter holder is meeting the academic performance expectations set forth in the Academic Performance Framework. The determination is completed using the most recent State assessment data and up to four years of prior assessment data. At the time the charter holder receives the review notification email, Board staff will make available the charter holder's results, in the form of a dashboard, for each of the Academic Performance Framework's measures in the "Interval Reviews" folder of the charter holder's Document Management System (DMS) in ASBCS Online. Access the DMS as follows:

- Log in to ASBCS Online.
- Click on Detailed Information under Charter Holder heading.
- Click on the Documentation tab located above the General Information banner.
- Click on the Document Management System link.
- Click on the name "Charter Holder" next to the folder on the left.
- Click on the "Interval Reviews" folder.
- Click on the Performance Framework file.
- Click on Download Document to open the file.

Charter Holder's Academic Performance

A charter holder meets the Board's academic performance expectations if all schools operated by the charter holder receive an Overall Rating of "Meets Standard" or "Exceeds Standard" in the current and prior¹ fiscal year. Submission of a Performance Management Plan is not required of a charter holder that meets the Board's academic performance expectations.

For review purposes, charter holders operating schools that receive an overall rating of "Does Not Meet Standard" or "Falls Far Below Standard" on the Academic Performance Framework will be required to submit a

¹ Overall Ratings have been calculated using fiscal year 2012 data. Until the fiscal year 2013 data is available, the Board will consider the current overall rating for each school operated by the charter holder in evaluating whether or not the charter holder meets the Board's academic performance expectations.

Performance Management Plan to identify actions steps the charter holder will implement to improve the academic achievement of students attending the school or schools operated by the charter holder. It would be appropriate to consider how the action steps incorporated in the Performance Management Plan would improve the measures where the charter holder received a “Does Not Meet Standard” or “Falls Far Below Standard” on the Academic Performance Framework.

Components of the Performance Management Plan

For the purpose of the interval review, each Performance Management Plan will include two components.

- 1. Narrative:** Each plan should be introduced with a narrative that serves as the foundation for understanding the submitted Performance Management Plan and its development. The narrative must contain the following:
 - A detailed description of all pertinent improvement efforts to improve pupil achievement conducted by the school in the past five years;
 - A detailed description of the process used for conducting an analysis of relevant pupil achievement data;
 - The findings from the data analysis;
 - A detailed description of how the plan that is presented (in template) is directly linked to the findings from the data analysis.
- 2. Template:** Each Performance Management Plan will be prepared using a template provided with the instructions and will include the following:
 - Action steps for accomplishing the strategies for improvement. Action steps must reveal a progression of actions from start to finish for each strategy and must include evidence the applicant will use to show successful completion of each action step.
 - Allocated resources (e.g. time, money, personnel), for implementing the strategies in the timeline specified within the plan.

NOTE: A charter holder that identifies a Performance Management Plan action step that would change its charter (e.g. increasing instructional days or changes in the program of instruction) must amend the contract to reflect the change.

Monitoring of the Performance Management Plan

A Performance Management Plan is an improvement plan and an accountability agreement between the charter holder and the Board for the academic performance of each school operated by the charter holder. The Board will monitor the effectiveness of the Performance Management Plan using the measures set forth in the Academic Performance Framework. Failure to demonstrate sufficient progress toward meeting the Board’s expectations for academic performance through the implementation of a Performance Management Plan may result in the Board assigning the charter holder an intervention (Academic Performance Framework and Guidance, Appendix C: Academic Performance Interventions).

Technical Assistance for Preparing a Performance Management Plan

The Board provides technical assistance in the following documents:

- Performance Management Plan template and evaluation criteria
- Academic Performance Framework and Guidance document
- Appendix C: Academic Performance Interventions (Academic Performance Framework and Guidance)
- Appendix D: Demonstration of Sufficient Progress (Academic Performance Framework and Guidance)

II b. Financial Performance

In making the determination that a charter holder is required to submit additional information as part of its five year interval review, the charter holder's financial performance will be evaluated using the Board's [Financial Performance Framework](#) and the most recent audit reporting package received by the Board. A charter holder that receives two or more "Does Not Meet Standard" and/or one or more "Falls Far Below Standard" will be required to submit additional information regarding the charter holder's financial situation.

The Board has not prescribed the specific information that must be submitted by the charter holder, but the charter holder's response should focus on each measure where the charter holder received a "Does Not Meet Standard" or "Falls Far Below Standard". The charter holder's response should not address all measures in the framework unless the charter holder failed to meet the target for all measures. For those charter holders required to submit additional information, at the time the charter holder receives the notification email, Board staff will make available the charter holder's results for each of the financial performance measures in the "Interval Reviews" folder of the charter holder's Document Management System (DMS) in ASBCS Online.

Access the DMS as follows:

- Log in to ASBCS Online.
- Click on Detailed Information under Charter Holder heading.
- Click on the Documentation tab located above the General Information banner.
- Click on the Document Management System link.
- Click on the name "Charter Holder" next to the folder on the left.
- Click on the "Interval Reviews" folder.
- Click on the Performance Framework file.
- Click on Download Document to open the file.

In preparing the required response, the charter holder should evaluate its own financial situation and, for those measures where the charter holder failed to meet the target, determine the information that will best explain the charter holder's situation and/or efforts. For examples of items that the charter holder may want to consider addressing in or including with its required response, please see the "Things to Consider if Required to Submit Additional Information" section of the Board's [Financial Performance Framework and Guidance](#) document.

NOTE: *All responses will be available for public review. If references will be made to or include any sensitive information (e.g., bank account numbers), redact that information prior to submitting the response.*

II c. Charter Holder's Organizational Membership

Charter holders with contracts that are not up-to-date with regard to the organizational structure will be required to complete the Charter Holder's Organizational Membership section. Specifically, if the officers, directors, members and partners reflected in the contract do not match the current documents on file with the Arizona Corporation Commission, the charter holder must either file the appropriate notification request for Board consideration through the amendment process, make the appropriate filing with the Arizona Corporation Commission, or both. For the purpose of the five-year interval review, the charter holder must provide evidence of the appropriate filing(s).

II d. School Characteristics

A charter holder's School Information section of the Board's database, *ASBCS Online*, provides a place for the charter holder to report characteristics of the school or schools the charter holder operates. These characteristics are viewable by the public and are incorporated into the system's search mechanism so that a public user might locate a charter school based upon a particular characteristic or set of characteristics.

As a part of the five-year interval review process, charter holders undergoing a review may choose to submit up to three characteristics per school based upon the list provided below:

Alternative/At Risk	Dual Language	Montessori
Back to Basics	Equine/Agricultural Studies	Multi-age
Blended Learning	Expeditionary Learning	Multiple Intelligences
Cambridge/ACT Quality Core	Extended Day/Year	Online/Virtual
College Preparatory	Fine Arts focus	Project-based
Computer-based	International Baccalaureate	Special Populations
Core Knowledge	Math and Science/STEM	Traditional

Once submitted, characteristics will be verified using the charter holder's contract information, including program of instruction information.

III. SUBMITTING REQUIRED INFORMATION FOR REVIEW

Preparing the Information for Submission:

Charter holders required to submit information as a part of the five-year interval review process are encouraged to read the appropriate guidance document(s), including the Financial Performance Framework and Guidance and the Academic Performance Framework and Guidance to determine how to prepare the information for submission.

Submitting the Required Review Information:

Once the required information for review is complete and ready for submission, the authorized representative will upload the documentation at ASBCS Online.

Performance Management Plans, Financial Performance information, Charter Holder's Organizational Membership information, and School Characteristics will be submitted online at <http://online.asbcs.az.gov>. **All required information for the review must be submitted by 11:59 p.m. MST on the deadline date.** The deadline date will be identified in the charter holder's notification email.

Charter holders required to submit a **Performance Management Plan (PMP)** should use the following instructions for uploading the PMP:

1. Log in to your ASBCS online account using your email address (user name) and password.
<http://online.asbcs.az.gov/>

If you do not remember your password, look for the “Forgot Password” icon on the log in page and click it to reset your password. You will receive an email from the ASBCS System Administrator (charterschoolboard@asbcs.az.gov) with instructions to follow.

2. Once logged into the system, you will be taken to the Dashboard. On the Dashboard, choose the Charter Holder’s section or tab and click on Charter Holder Name. Next, click on the charter that is required to submit a Performance Management Plan. On the gray toolbar above the words Dashboard, place the cursor over the words Charter Holder. Then select from the drop down menu Uploads. The Upload Documents section will contain the link to allow you to upload your PMP Narrative first. Click on this link and upload your PMP Narrative document by selecting Add a New Document. The Browse box will open and allow you to locate your PMP Narrative document. The final step is selecting the Upload button to complete this upload process. After you have successfully uploaded the PMP Narrative document, you will have to select the Uploads tab again which is on the light gray toolbar near the top of the screen to be able to submit your PMP Template. Click on the PMP Template link and follow the same process that you did for the PMP Narrative document.

A tutorial on how to upload a PMP is located on the “School Resources” page of the Board’s website and is titled [“Uploading Your PMP”](#). This brief slide show provides additional information for uploading PMPs.

Charter holders required to submit information other than a PMP (**Financial Performance information, Charter Holder’s Organizational Membership information, or School Characteristics**) should clearly label the submitted information to identify which requirements are being addressed. Use the following instructions for uploading the information:

1. Log in to your ASBCS online account using your email address (user name) and password.
<http://online.asbcs.az.gov/>

If you do not remember your password, look for the “Forgot Password” icon on the log in page and click it to reset your password. You will receive an email from the ASBCS System Administrator (charterschoolboard@asbcs.az.gov) with instructions to follow.

2. Once logged into the system, you will be taken to the Dashboard. On the Dashboard, choose the Charter Holder’s section or tab and click on Charter Holder Name. Next, click on the charter that is required to submit information for the Five Year Interval Review. On the gray toolbar above the words Dashboard, place the cursor over the words Charter Holder. Then select from the drop down menu Uploads. The Upload Documents section will contain the link to allow you to upload your information. Click on this link and upload your documents by selecting Add a New Document. The Browse box will open and allow you to locate your documents. The final step is clicking the Upload button to complete this upload process. This area allows for multiple uploads.

IV. TERMS TO KNOW

Performance Framework – Indicators of performance, including academic and financial indicators. Academic performance indicators are designed to evaluate a school’s performance including Student Progress over Time (Growth), Student Achievement (Status), State Accountability, and Post-Secondary Readiness. Financial performance indicators are designed to evaluate a charter holder’s financial performance including near-term and sustainability indicators.

Authorized Representative – Individual with the power to bind a charter holder contractually according to the charter holder’s Articles of Incorporation, operating agreement, or by-laws

Board – The Arizona State Board for Charter Schools

Charter – A contract between a person and the Board to operate a charter school under A.R.S. § 15-181

Charter Holder – As defined in rule, an individual, partnership, corporation, association, or public or private organization of any kind who enters into a charter with the Board

MST – Mountain Standard Time